

02/05/02



JC928 U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. MI30-068

First Inventor Ji Ung Lee et al.

Title See 1 in Addendum

Express Mail Label No. EL 844054097 US



02/05/02

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 33]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
5. Oath or Declaration [Total Pages 6]
- a. ☐ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
- b. ☒ (for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: See 2 in Addendum

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. 09 / 260,231

Prior application information

Examiner V. Yesikov

Group Art Unit 2825

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☒ Customer Number or Bar Code Label021567
(insert Customer No. or Attach bar code label here)or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

James D. Shaurette

Registration No. (Attorney/Agent)

39,833

Signature

Date

2/5/02

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

Addendum

1. Field Effect Transistor Fabrication Methods, Field Emission Device Fabrication Methods and Field Emission Device Operational Methods
2. Check for \$1,988.00
Copies of Drawings as filed in parent application
Substitute Drawing Request

02/05/02



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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number	filed herewith
Filing Date	filed herewith
First Named Inventor	Ji Ung Lee et al.
Examiner Name	Unknown
Group Art Unit	Unknown
Attorney Docket No.	MI 30-068

TOTAL AMOUNT OF PAYMENT (\$) 1,988.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 23-0925

Deposit Account Name: Wells, St. John et al.

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE						
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
101	201	740	370			Utility filing fee
106	206	330	165			Design filing fee
107	207	510	255			Plant filing fee
108	208	740	370			Reissue filing fee
114	214	160	80			Provisional filing fee
SUBTOTAL (1)						(\$) 740.00

2. EXTRA CLAIM FEES

Total Claims: 38

Independent Claims: 8

Multiple Dependent:

Extra Claims: 20** = 18

Fee from below: 18.0

Fee Paid: 324.0

Extra Claims: 3** = 11

Fee from below: 84.0

Fee Paid: 924.0

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	203	18	9			Claims in excess of 20
102	202	84	42			Independent claims in excess of 3
104	204	280	140			Multiple dependent claim, if not paid
109	209	84	42			** Reissue independent claims over original patent
110	210	18	9			** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)						(\$) 1,248.0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code: 130

Small Entity Fee Code: 205

Fee Description: Surcharge - late filing fee or oath

Fee Paid:

Large Entity Fee Code: 50

Small Entity Fee Code: 227

Fee Description: Surcharge - late provisional filing fee or cover sheet

Fee Paid:

Large Entity Fee Code: 130

Small Entity Fee Code: 130

Fee Description: Non-English specification

Fee Paid:

Large Entity Fee Code: 2,520

Small Entity Fee Code: 147

Fee Description: For filing a request for ex parte reexamination

Fee Paid:

Large Entity Fee Code: 920*

Small Entity Fee Code: 112

Fee Description: Requesting publication of SIR prior to Examiner action

Fee Paid:

Large Entity Fee Code: 1,840*

Small Entity Fee Code: 113

Fee Description: Requesting publication of SIR after Examiner action

Fee Paid:

Large Entity Fee Code: 110

Small Entity Fee Code: 215

Fee Description: Extension for reply within first month

Fee Paid:

Large Entity Fee Code: 400

Small Entity Fee Code: 216

Fee Description: Extension for reply within second month

Fee Paid:

Large Entity Fee Code: 920

Small Entity Fee Code: 217

Fee Description: Extension for reply within third month

Fee Paid:

Large Entity Fee Code: 1,440

Small Entity Fee Code: 218

Fee Description: Extension for reply within fourth month

Fee Paid:

Large Entity Fee Code: 1,960

Small Entity Fee Code: 228

Fee Description: Extension for reply within fifth month

Fee Paid:

Large Entity Fee Code: 320

Small Entity Fee Code: 219

Fee Description: Notice of Appeal

Fee Paid:

Large Entity Fee Code: 320

Small Entity Fee Code: 220

Fee Description: Filing a brief in support of an appeal

Fee Paid:

Large Entity Fee Code: 280

Small Entity Fee Code: 221

Fee Description: Request for oral hearing

Fee Paid:

Large Entity Fee Code: 1,510

Small Entity Fee Code: 138

Fee Description: Petition to institute a public use proceeding

Fee Paid:

Large Entity Fee Code: 110

Small Entity Fee Code: 240

Fee Description: Petition to revive - unavoidable

Fee Paid:

Large Entity Fee Code: 1,280

Small Entity Fee Code: 241

Fee Description: Petition to revive - unintentional

Fee Paid:

Large Entity Fee Code: 1,280

Small Entity Fee Code: 242

Fee Description: Utility issue fee (or reissue)

Fee Paid:

Large Entity Fee Code: 460

Small Entity Fee Code: 243

Fee Description: Design issue fee

Fee Paid:

Large Entity Fee Code: 620

Small Entity Fee Code: 244

Fee Description: Plant issue fee

Fee Paid:

Large Entity Fee Code: 130

Small Entity Fee Code: 122

Fee Description: Petitions to the Commissioner

Fee Paid:

Large Entity Fee Code: 50

Small Entity Fee Code: 123

Fee Description: Processing fee under 37 CFR 1.17(q)

Fee Paid:

Large Entity Fee Code: 180

Small Entity Fee Code: 126

Fee Description: Submission of Information Disclosure Stmt

Fee Paid:

Large Entity Fee Code: 40

Small Entity Fee Code: 581

Fee Description: Recording each patent assignment per property (times number of properties)

Fee Paid:

Large Entity Fee Code: 740

Small Entity Fee Code: 246

Fee Description: Filing a submission after final rejection (37 CFR § 1.129(a))

Fee Paid:

Large Entity Fee Code: 740

Small Entity Fee Code: 249

Fee Description: For each additional invention to be examined (37 CFR § 1.129(b))

Fee Paid:

Large Entity Fee Code: 740

Small Entity Fee Code: 279

Fee Description: Request for Continued Examination (RCE)

Fee Paid:

Large Entity Fee Code: 900

Small Entity Fee Code: 169

Fee Description: Request for expedited examination of a design application

Fee Paid:

Other fee (specify):

SubTOTAL (3) (\$)

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	James D. Shaurette	Registration No. (Attorney/Agent)	39,833	Telephone	509-624-4276
Signature		Date	2/5/02		

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